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Student Financial Assistance

THE U.S. Department of EDUCATION

Session 40

Web Tools:

SFA Self-Assessment / Compliance Modules

Session Goals

- History of the SFA Assessments
- Review of Resources
- Review of Modules
- Focus on *Satisfactory Academic Progress* Module

What are the SFA Self Assessments?

Tools to prevent and/or identify compliance issues, implement Management Enhancements for noted problems, and share Effective Practices

What are the SFA Assessments?

- Originally for Quality Assurance schools' self-evaluation of Title IV operations
- Updated with hyperlinks to Reg's and the Student Financial Aid Handbook
- Addition of new, interactive assessments
- Now available for ALL schools

What's In It For Me?

- Modules empower your school to:
  - Implement Management Enhancements
  - Share Effective Practices
  - Utilize Technical Assistance Resources

Mgt. Enhancements' Benefits

- Allow you to take corrective action in order to resolve noted problems
- Allow you to track progress
- Link to the Management Enhancement Worksheet from each module

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What is the Effective Practice Database?

- A way to share practices that work well
- A continuously expanding record from which schools can benefit
- *To facilitate sharing:* A direct link to share an idea in each assessment
- Currently in testing mode. Will be unveiled in the very near future

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What are Technical Assistance Resources?

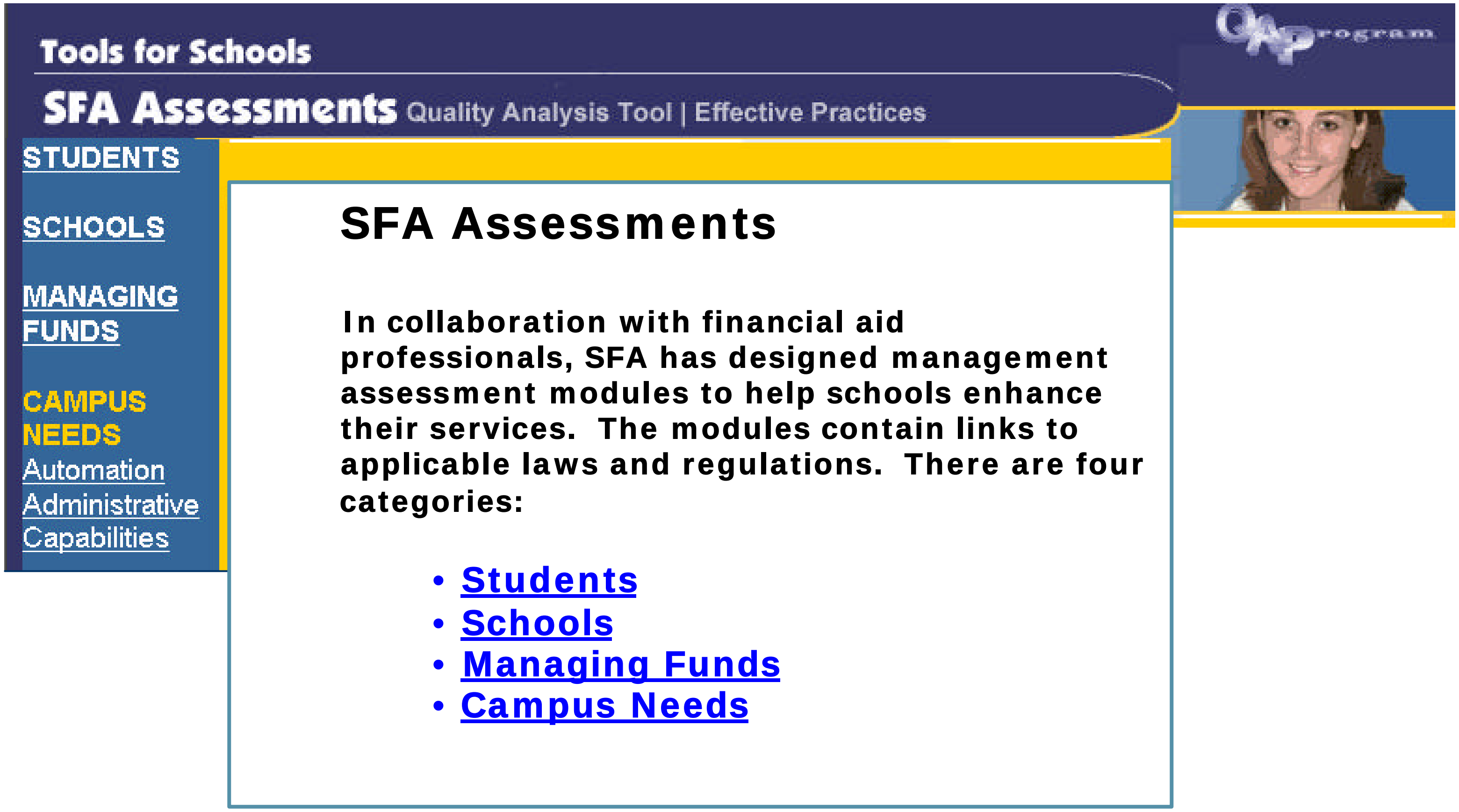
- A listing of all resources available to schools that need assistance
- *To facilitate use:* Each assessment has a link to the Technical Assistance Resources for quick reference

Where can I find the SFA Assessments?

The assessments can be accessed at the following website:

qaprogram.air.org

Tools For Schools


QAProgram
Tools for Schools
SFA Assessments Quality Analysis Tool | Effective Practices
STUDENTS
SCHOOLS
MANAGING FUNDS
CAMPUS NEEDS
Automation
Administrative Capabilities

SFA Assessments

In collaboration with financial aid professionals, SFA has designed management assessment modules to help schools enhance their services. The modules contain links to applicable laws and regulations. There are four categories:

- Students
- Schools
- Managing Funds
- Campus Needs

Tools For Schools

- Interactive modules allow the school to complete self-evaluations online
- Non-Interactive modules require download by schools
- All modules provide hyperlinks to Regulations, Student Financial Aid Handbook
- All modules have printing options

Do I need a password to use the modules?

- Schools can view the modules in the tour mode without a password
- If your school wants to complete the module and save it, a password will be required. The password will be your OPE ID
- This function will not be fully operational until late this year.
- In the meantime, a “dummy” password will be available for schools to test and peruse through the modules

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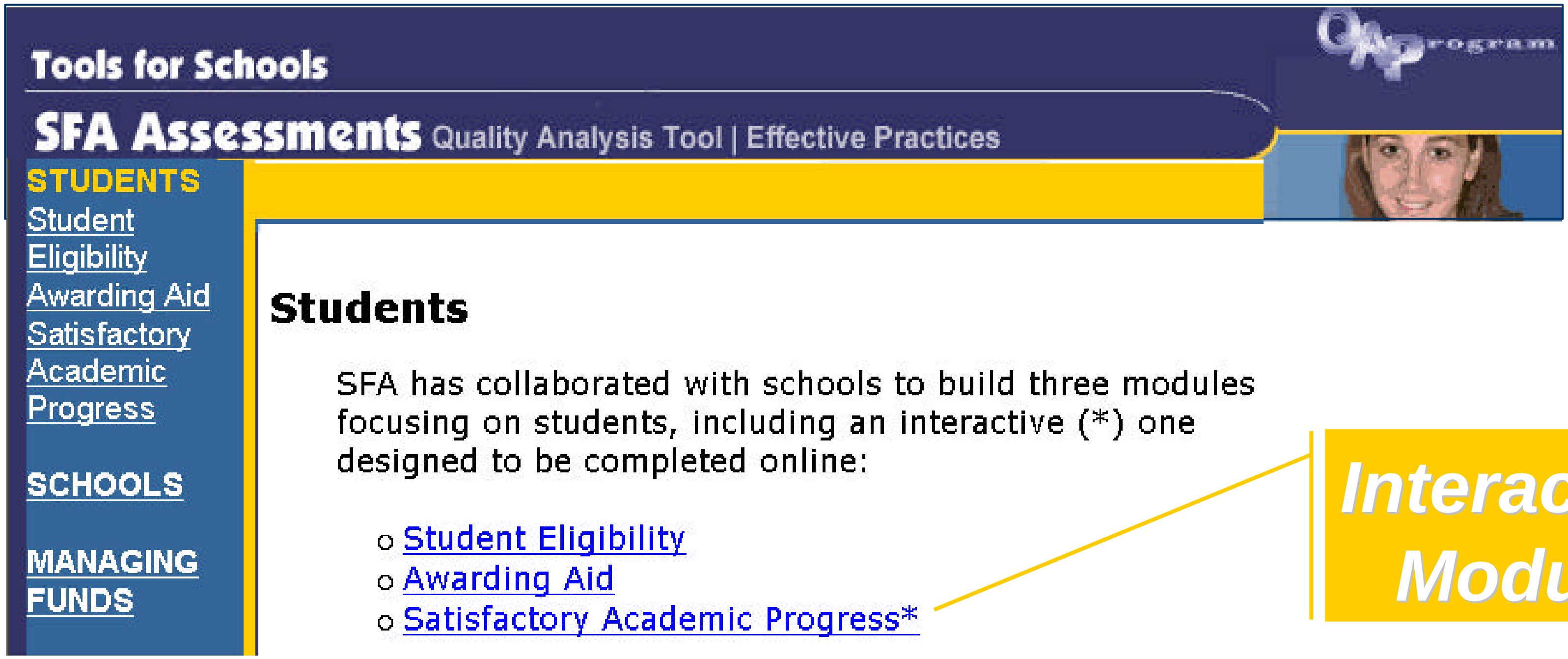
Students



Tools for Schools
SFA Assessments Quality Analysis Tool | Effective Practices
STUDENTS
Student
Eligibility
Awarding Aid
Satisfactory
Academic
Progress
SCHOOLS
MANAGING
FUNDS

Students

SFA has collaborated with schools to build three modules focusing on students, including an interactive (*) one designed to be completed online:

- Student Eligibility
- Awarding Aid
- Satisfactory Academic Progress*

Interactive Module

Student Eligibility

- A non-interactive module
- Reviews procedures related to Student Eligibility
  - Citizenship
  - Regular Student in an eligible program
  - Academic Qualifications
  - SAP
  - Financial Aid History
  - Valid Social Security Number
  - Selective Service
  - Drug-Related Offense
  - Financial Need
  - Verification
- Includes Exercises to test procedures

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Awarding Aid

- A non-interactive module
- Reviews procedures related to awarding aid
  - Awarding Federal Pell Grants
  - Awarding Campus-Based Programs
  - Awarding FFEL/Direct Loans

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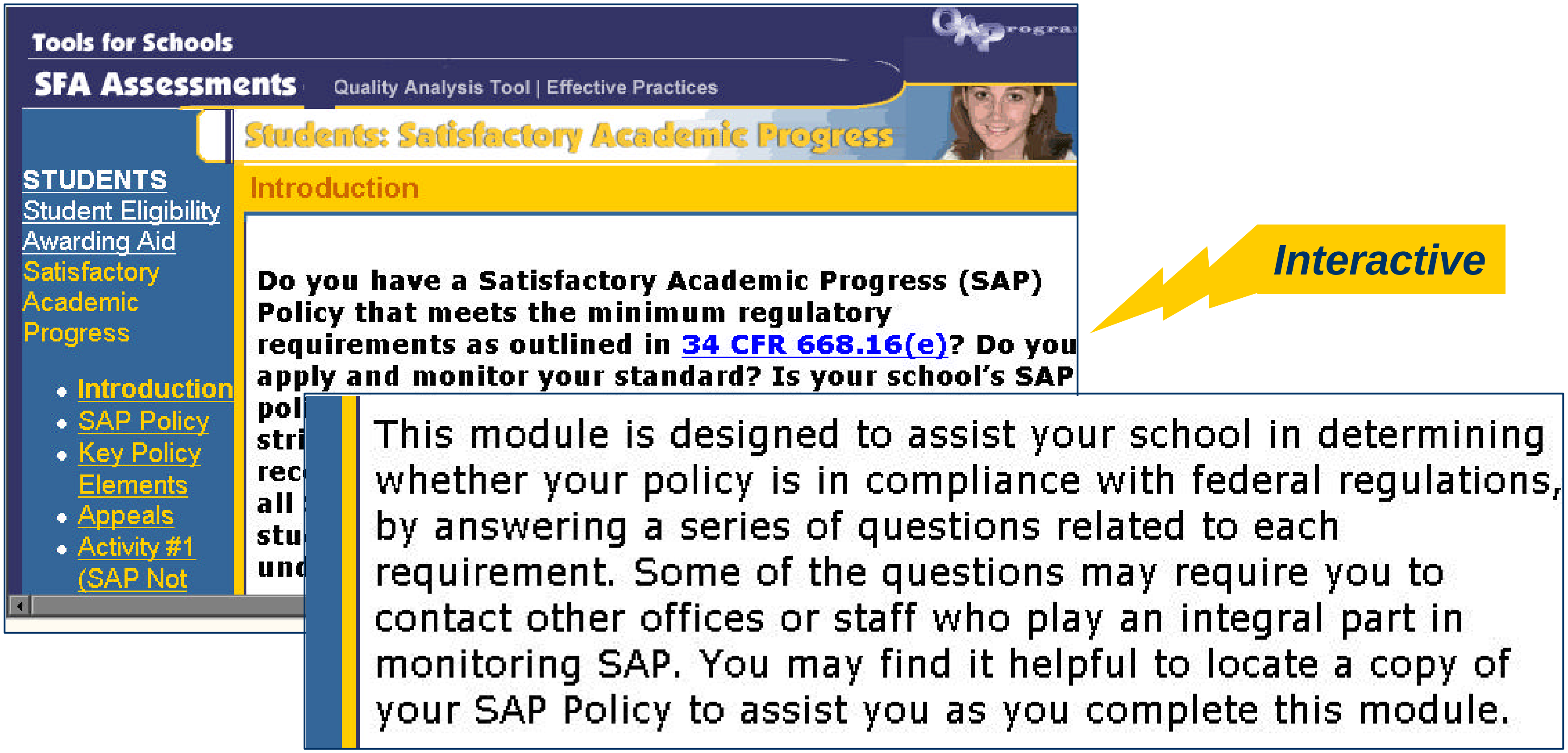
Satisfactory Academic Progress (SAP)



Tools for Schools
SFA Assessments
Quality Analysis Tool | Effective Practices
Students: Satisfactory Academic Progress
STUDENTS
Student Eligibility
Awarding Aid
Satisfactory Academic Progress
Introduction
SAP Policy
Key Policy Elements
Appeals
Activity #1 (SAP Not

Introduction

Do you have a Satisfactory Academic Progress (SAP) Policy that meets the minimum regulatory requirements as outlined in 34 CFR 668.16(e)? Do you apply and monitor your standard? Is your school's SAP pol stri rec all stu und

This module is designed to assist your school in determining whether your policy is in compliance with federal regulations, by answering a series of questions related to each requirement. Some of the questions may require you to contact other offices or staff who play an integral part in monitoring SAP. You may find it helpful to locate a copy of your SAP Policy to assist you as you complete this module.

Interactive

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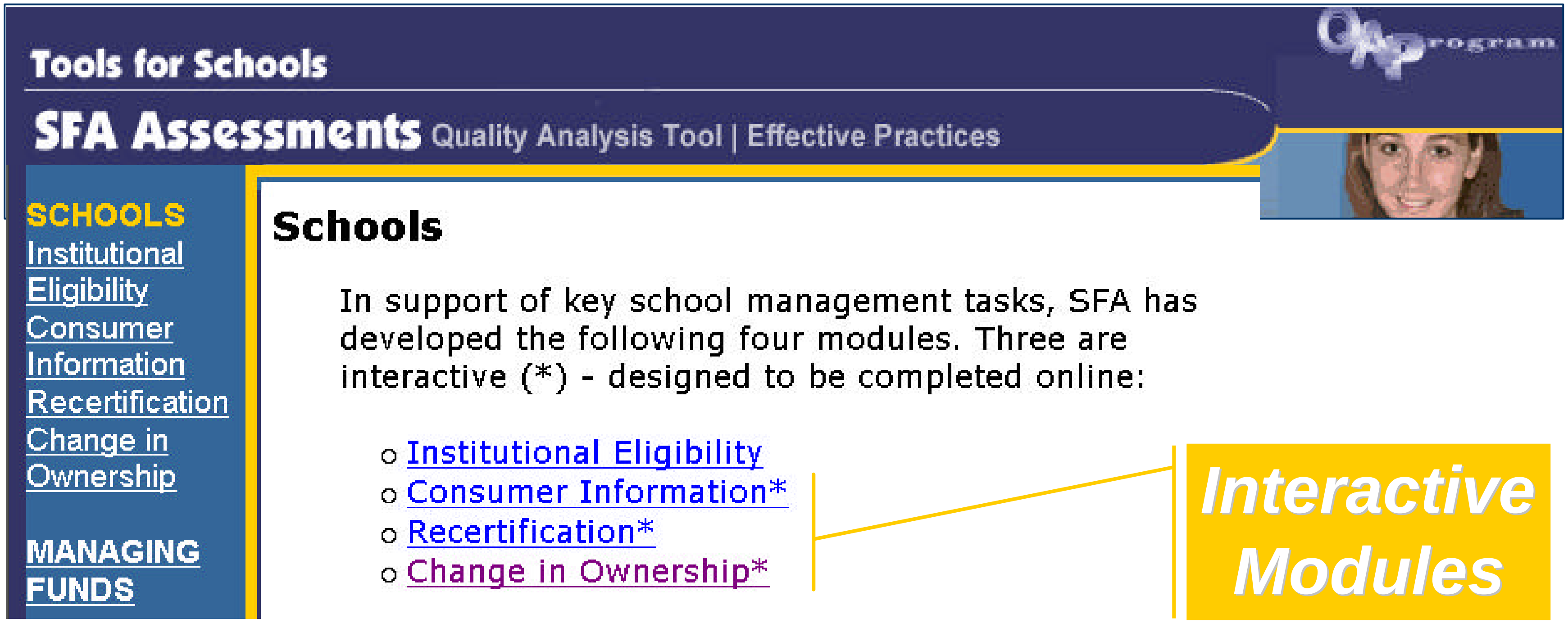
Schools



Tools for Schools

SFA Assessments Quality Analysis Tool | Effective Practices

SCHOOLS
- Institutional Eligibility
- Consumer Information
- Recertification
- Change in Ownership

MANAGING FUNDS

Schools

In support of key school management tasks, SFA has developed the following four modules. Three are interactive (*) - designed to be completed online:

- ○ Institutional Eligibility
- ○ Consumer Information*
- ○ Recertification*
- ○ Change in Ownership*

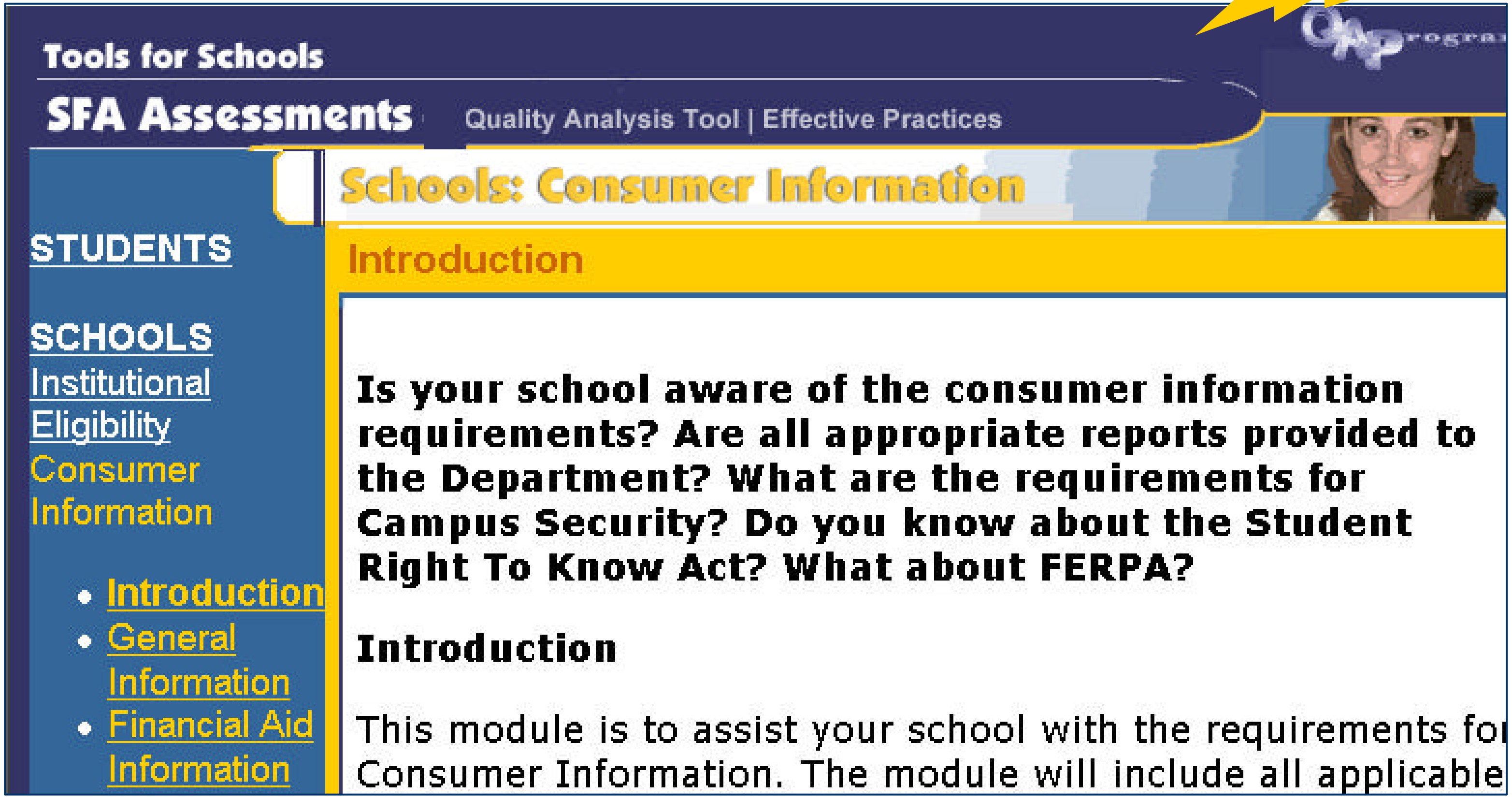
Interactive Modules

Institutional Eligibility

- A non-interactive module
- Reviews procedures related to Institutional Eligibility
  - **Program Participation Agreement**
  - **Accreditation and State Approvals**
  - **Administrative Capability**
  - **Financial Responsibility**
  - **Consumer Information**
  - **Written Arrangements Between Schools**
  - **Program Eligibility/Academic Year Requirements**
  - **Reporting Changes to Title IV application data**

Consumer Information

Interactive



Tools for Schools

SFA Assessments

Quality Analysis Tool | Effective Practices

Schools: Consumer Information

STUDENTS

SCHOOLS

Institutional Eligibility

Consumer Information

- Introduction
- General Information
- Financial Aid Information

Introduction

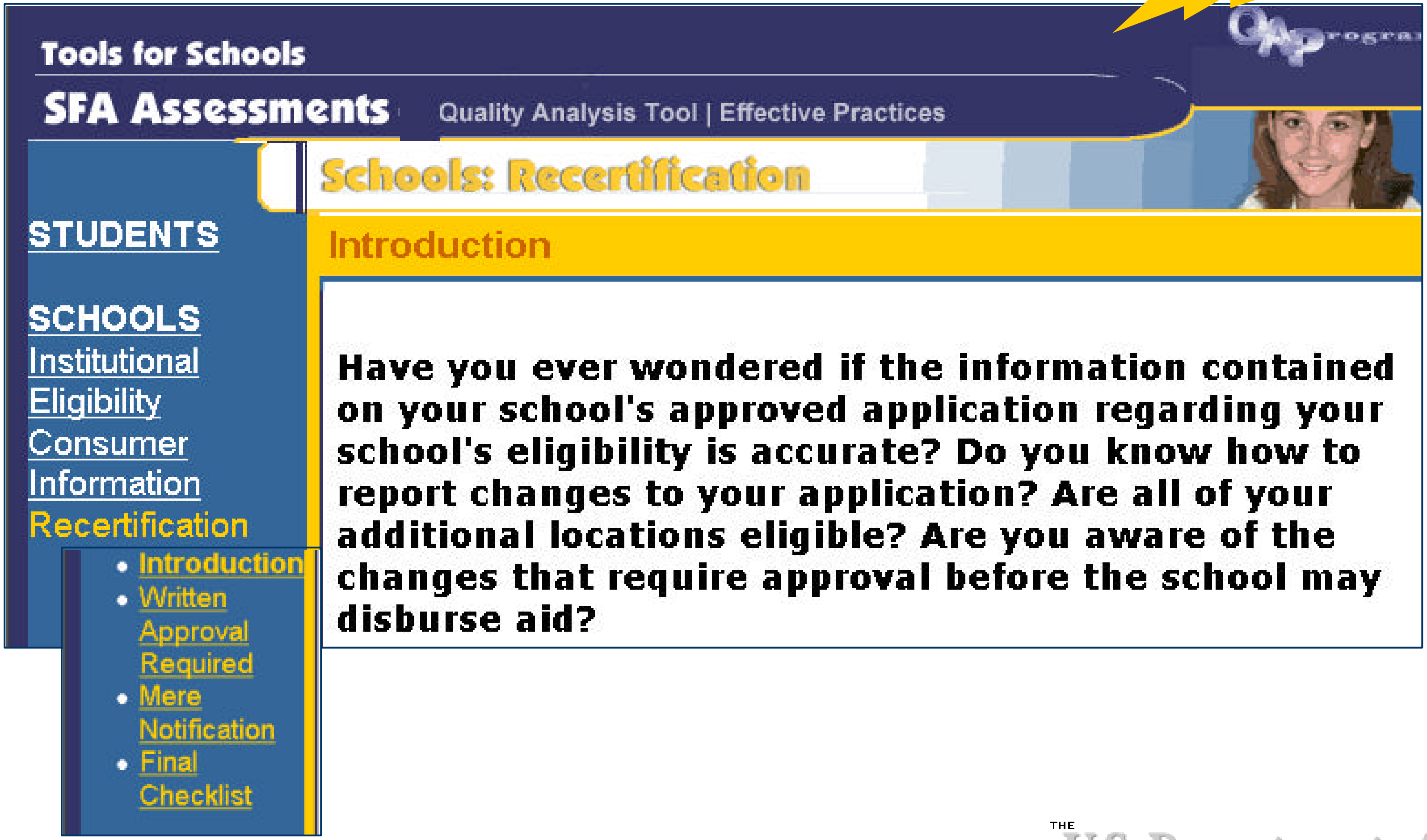
Is your school aware of the consumer information requirements? Are all appropriate reports provided to the Department? What are the requirements for Campus Security? Do you know about the Student Right To Know Act? What about FERPA?

Introduction

This module is to assist your school with the requirements fo
Consumer Information. The module will include all applicable

Recertification

Interactive



Tools for Schools
SFA Assessments
Quality Analysis Tool | Effective Practices
STUDENTS
SCHOOLS
Institutional Eligibility
Consumer Information
Recertification
Introduction
Written Approval Required
Mere Notification
Final Checklist

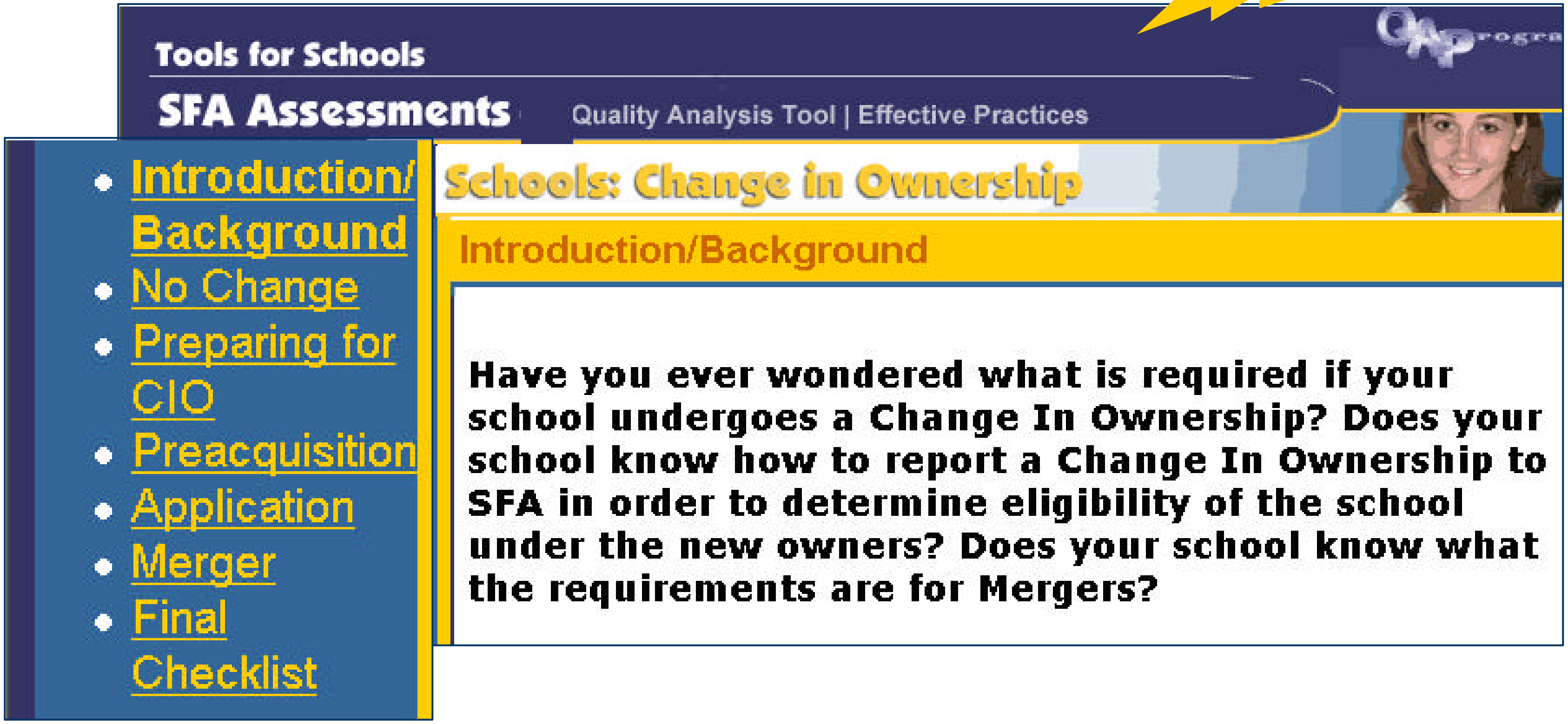
Schools: Recertification

Introduction

Have you ever wondered if the information contained on your school's approved application regarding your school's eligibility is accurate? Do you know how to report changes to your application? Are all of your additional locations eligible? Are you aware of the changes that require approval before the school may disburse aid?

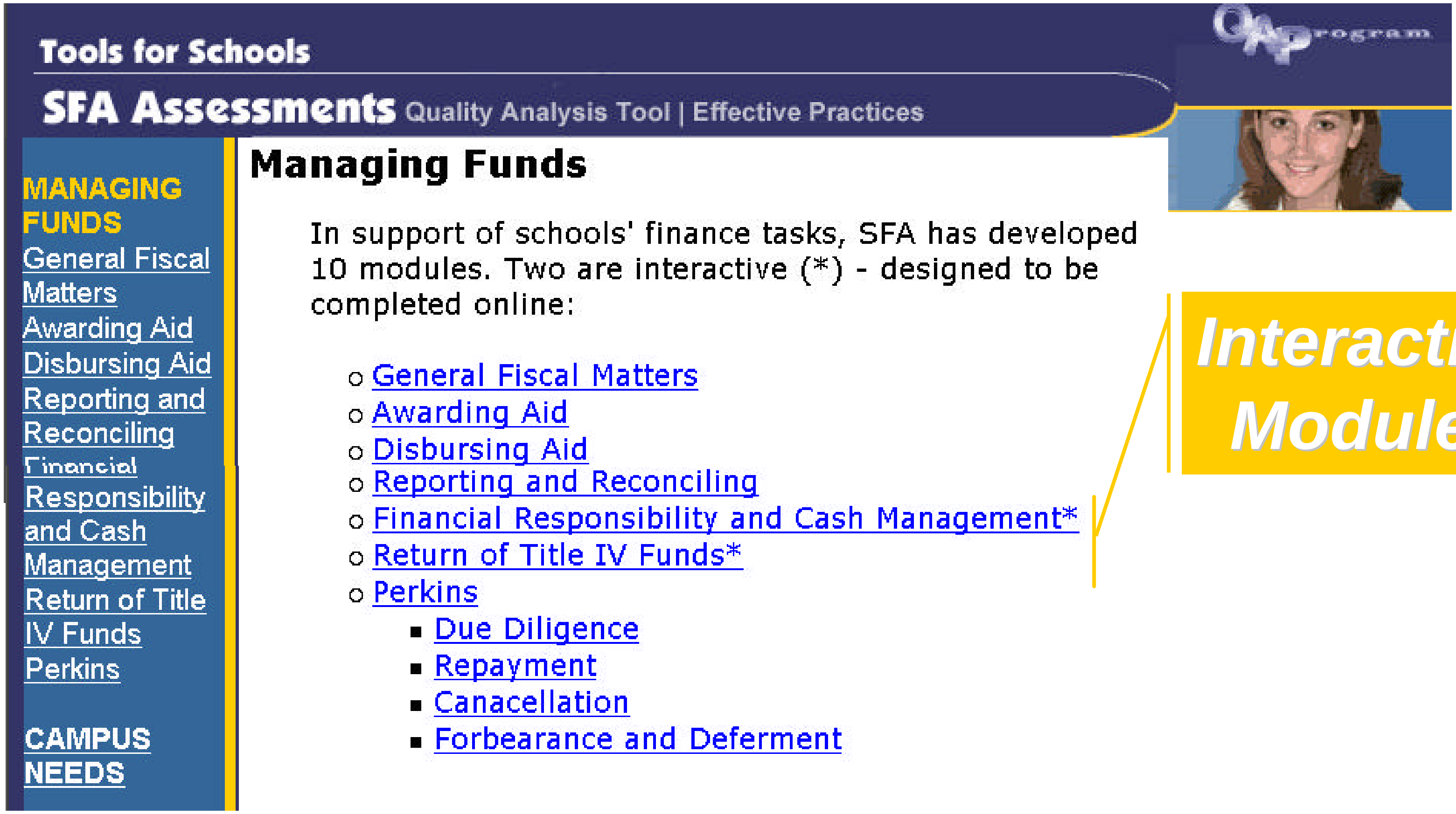
Change In Ownership (CIO)

Interactive


Tools for Schools
SFA Assessments
Quality Analysis Tool | Effective Practices
Introduction/Background
No Change
Preparing for CIO
Preacquisition
Application
Merger
Final Checklist
Schools: Change in Ownership
Introduction/Background

Have you ever wondered what is required if your school undergoes a Change In Ownership? Does your school know how to report a Change In Ownership to SFA in order to determine eligibility of the school under the new owners? Does your school know what the requirements are for Mergers?

Managing Funds



Tools for Schools

SFA Assessments Quality Analysis Tool | Effective Practices

MANAGING FUNDS
General Fiscal Matters
Awarding Aid
Disbursing Aid
Reporting and Reconciling
Financial Responsibility and Cash Management
Return of Title IV Funds
Perkins
CAMPUS NEEDS

Managing Funds

In support of schools' finance tasks, SFA has developed 10 modules. Two are interactive (*) - designed to be completed online:

- General Fiscal Matters
- Awarding Aid
- Disbursing Aid
- Reporting and Reconciling
- Financial Responsibility and Cash Management*
- Return of Title IV Funds*
- Perkins
  - Due Diligence
  - Repayment
  - Canacellation
  - Forbearance and Deferment

Interactive Modules

General Fiscal Matters

- A non-interactive module
- Reviews procedures related to a sound Fiscal system
    - **Establishing Accounting Systems**
    - **Cash Management Procedures**
    - **Disbursement Policies**
    - **Coordinating Program Specific Funds**

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Disbursing Aid

- A non-interactive module
- Reviews procedures related to disbursing aid
  - General Disbursement Requirements for All SFA Programs
  - Federal Pell Grant Disbursement Requirements
  - Federal Campus-Based Programs Disbursement Requirements
  - FFEL & Direct Loan Disbursement Requirements
  - Other Disbursement Issues
- Includes Exercises to test procedures

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Reporting and Reconciling

- A non-interactive module
- Reviews procedures related to Reporting and Reconciling Title IV aid
  - Adjusting Awards
  - Return of Title IV Funds
  - Reporting and Recordkeeping
- Includes Exercises to test procedures

Federal Perkins

- Non-interactive modules
  - Due Diligence
  - Repayment
  - Cancellation
  - Forbearance & Deferment

All Perkins Modules have exercises to test procedures

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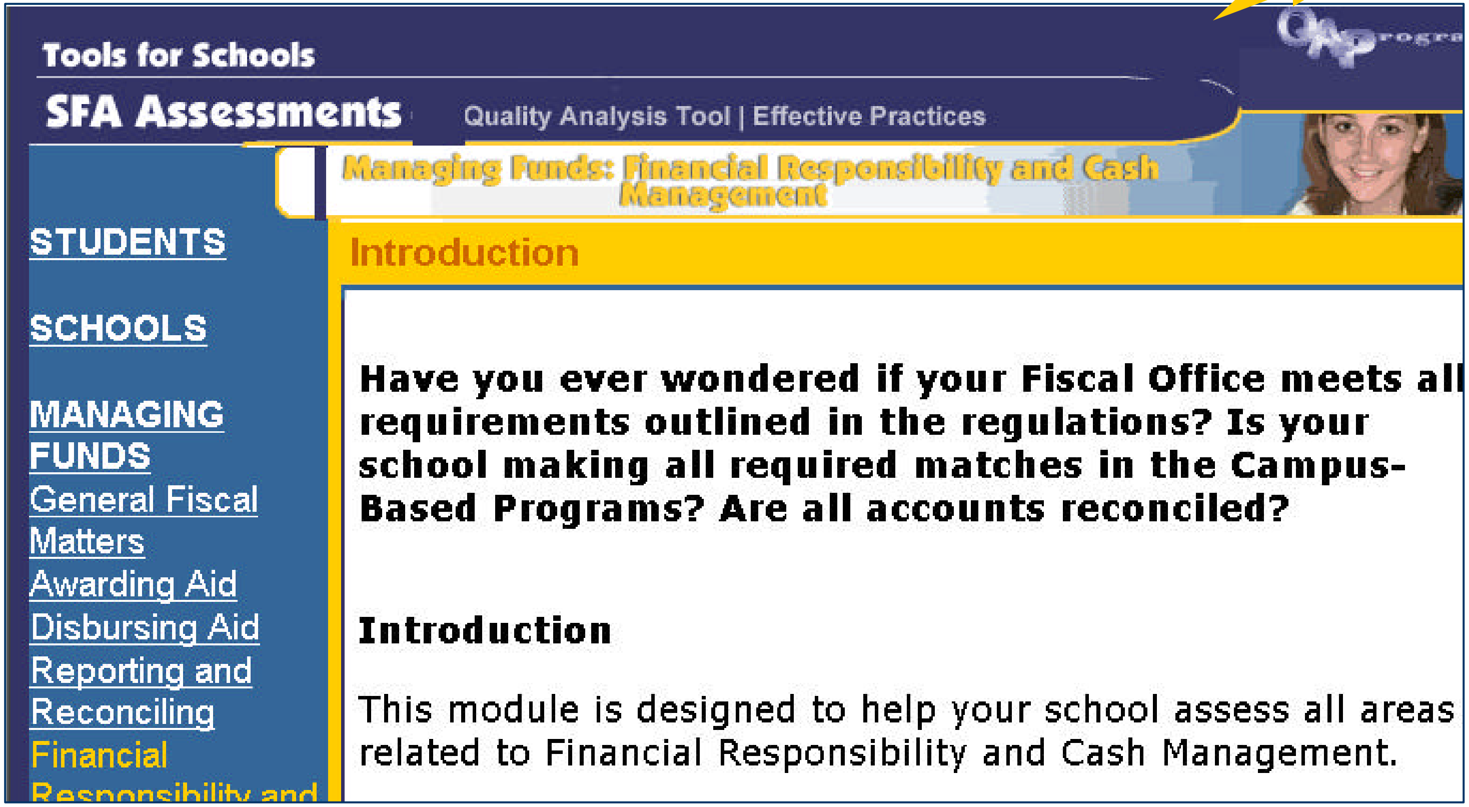
Financial Responsibility & Cash Management

Interactive



Tools for Schools
SFA Assessments
Quality Analysis Tool | Effective Practices
STUDENTS
SCHOOLS
MANAGING FUNDS
General Fiscal Matters
Awarding Aid
Disbursing Aid
Reporting and Reconciling
Financial Responsibility and

Managing Funds: Financial Responsibility and Cash Management

Introduction

Have you ever wondered if your Fiscal Office meets all requirements outlined in the regulations? Is your school making all required matches in the Campus-Based Programs? Are all accounts reconciled?

Introduction

This module is designed to help your school assess all areas related to Financial Responsibility and Cash Management.

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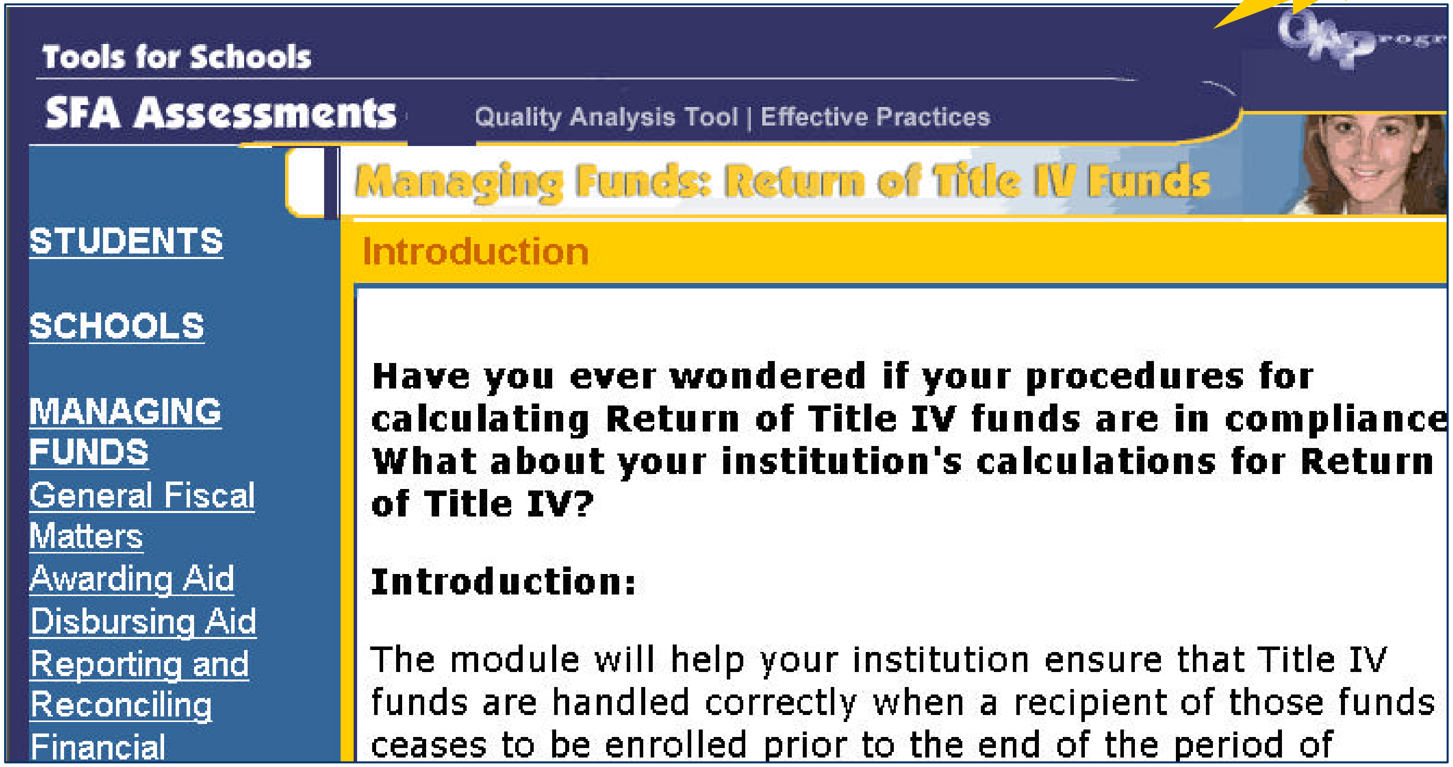
Return of Title IV Funds

Interactive


Tools for Schools
SFA Assessments
Quality Analysis Tool | Effective Practices
QAP
STUDENTS
SCHOOLS
MANAGING FUNDS
General Fiscal Matters
Awarding Aid
Disbursing Aid
Reporting and Reconciling
Financial

Managing Funds: Return of Title IV Funds

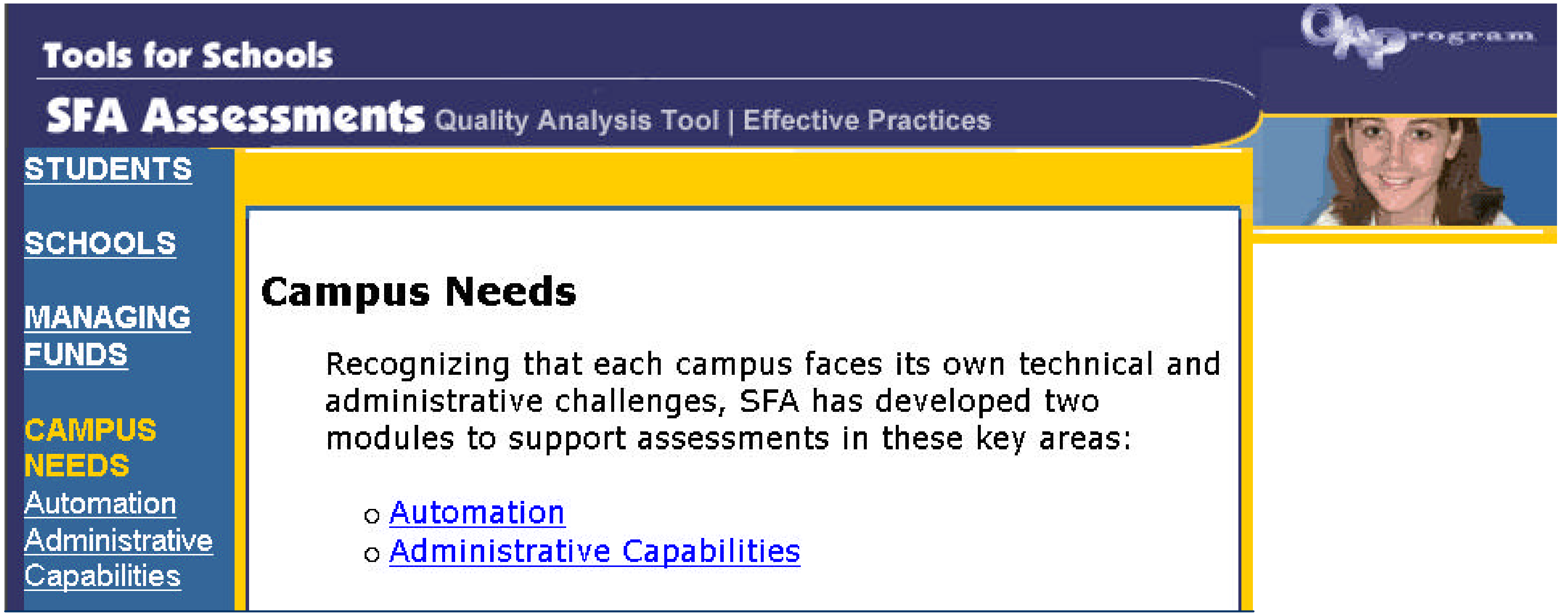
Introduction

Have you ever wondered if your procedures for calculating Return of Title IV funds are in compliance What about your institution's calculations for Return of Title IV?

Introduction:

The module will help your institution ensure that Title IV funds are handled correctly when a recipient of those funds ceases to be enrolled prior to the end of the period of

Campus Needs


Tools for Schools
SFA Assessments Quality Analysis Tool | Effective Practices
QAProgram
STUDENTS
SCHOOLS
MANAGING FUNDS
CAMPUS NEEDS
Automation
Administrative Capabilities

Campus Needs

Recognizing that each campus faces its own technical and administrative challenges, SFA has developed two modules to support assessments in these key areas:

- Automation
- Administrative Capabilities

Automation

- A non-interactive module
- Reviews Procedures Related to Automation
  - Required Electronic Processes
  - Automation Systems (ADP) Procedures

Administrative Practices

- A non-interactive module
- Allows a school to test procedures related to Administrative Practices
  - Institutional Policies and Procedures Manual
  - NCAA, FERPA, Drug-Free Schools and Communities Act
- Suggests other areas that school may want to self-assess

Focus on Satisfactory Academic Progress

- Suggestions for use
- Recommended Activities
- Other Offices that a school should coordinate with

Printing the Modules

- Interactive Modules can be printed while the user has the module on the screen
- Non-interactive modules will have printable Word documents
- All modules will have the similar printing features once the SFA Assessment Web page is completed

Future Modules

- The modules will be updated annually
- More web-based modules will be added
- Constant feedback needed from schools

In Summary

- The more you put into the modules, the more you will get out of them
- Don't assume that everything you do is in compliance
- Be willing to change

Questions?

We appreciate your feedback and comments via Email at:

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Cynthia.Brewer@ed.gov